

1712

**PATENT**

(Practitioner's Docket No. IN-5270)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Sunitha GRANDHEE

US Serial No. 10/043,816

Filed: January 10, 2002

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: HYDROXY AND CARBAMATE FUNCTIONAL RESINS

Assistant Commissioner of Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)**

I hereby certify that the attached correspondence comprising:

**Information Disclosure Statement**  
**PTO-1449 Form**  
**Cited References**

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on June 14, 2002

signature

Marjorie Ellis

(type or print name of person certifying)

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INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

**COPIES PROVIDED:**

☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ], filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

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**FOREIGN LANGUAGE DOCUMENTS**

☐ ☐ There are no foreign language documents listed on Form PTO-1449.

☐ ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:

☐ ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☐ ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:

☐ ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.

☐ ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:

☐ ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

☒ ☐ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

☐ ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

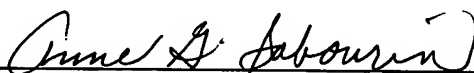
☐ ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); OR

Information Disclosure Statement  
Page 3

<input type="checkbox"/>	<input type="checkbox"/>	That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); <b>OR</b>
<input type="checkbox"/>	<input type="checkbox"/>	Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the <b>\$230.00</b> IDS submission fee to BASF Corporation <b>Deposit Account No. 23-3425</b> . A duplicate of this paper is enclosed.
<input type="checkbox"/>	<input type="checkbox"/>	The Information Disclosure Statement transmitted herewith is being filed <b>After a Final Action</b> under 37 C.F.R. §1.113, or <b>After a Notice of Allowance</b> under 37 C.F.R. §1.311, whichever occurs first, but <b>Before Payment of the Issue Fee</b> . Accordingly, I hereby certify that:
<input type="checkbox"/>	<input type="checkbox"/>	Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); <b>OR</b>
<input type="checkbox"/>	<input type="checkbox"/>	That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); <b>AND</b>
<input type="checkbox"/>	<input type="checkbox"/>	Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of <b>\$130.00</b> to BASF Corporation <b>Deposit Account No. 23-3425</b> . A duplicate of this paper is enclosed.

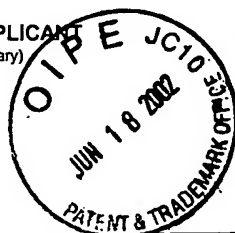
The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,

  
\_\_\_\_\_  
Anne Gerry Sabourin, Reg No. 33,772  
BASF Corporation  
26701 Telegraph Road  
Southfield, Michigan 48034-2442  
Tel. No.: (248) 948-2021

FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5270

LIST OF ART CITED BY APPLICANT  
(Use sever of sheets if necessary)

In re Application of: GRANDHEE

Serial No.: 10/043,816

Filed: January 10, 2002

## U.S. PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2,979,514	04/11/61	O'Brien	260	340.2	07/16/57
	AB	3,479,328	11/18/69	Nordstrom et al.	260	86.1	11/18/66
	AC	3,674,838	07/04/72	Nordstrom	260	482	06/05/69
	AD	4,126,747	11/21/78	Cowherd et al.	520	166	12/28/76
	AE	4,279,833	07/21/81	Culbertson et al.	260	464	12/17/79
	AF	4,301,257	11/17/81	Zengel et al.	525	329	03/13/80
	AG	4,340,497	07/20/82	Knopf	252	188.3	03/21/80
	AH	4,758,632	07/19/88	Parekh et al.	525	383	02/06/85
	AI	4,791,168	12/13/88	Salatin et al.	524	601	04/15/87
	AJ	4,820,830	04/11/89	Blank	560	158	03/02/87
	AK	5,326,815	07/05/94	Serdiuk et al.	524	591	09/29/92

## FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES   NO	
	AL							
	AM							
	AN							
	AO							
	AP							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	Bo Pattersson, Perstorp Polyols- Application Technology, S-284 80 Perstorp SWEDEN, entitled
	-	"Hyperbranched polymers- unique design tools for multi property control in resin and coatings, pages 1-19, and Generations 2-4
	AS	Young H. Kim, DuPont CR&D, Experimental Station, E328/261, Wilmington, Delaware 19808, 13 April 1998
	-	pages 1685-1698
	AT	M. Trollsås et al., entitled "Highly functional branched and dendri-graft aliphatic polyesters through ring opening polymerization", vol. 31, no. 9, 1998, pages 2756-2763

EXAMINER

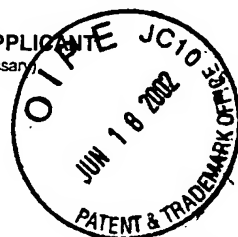
DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".

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## U.S. PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,356,669	10/18/94	Rehfuss et al.	427	407.1	10/23/92
	AB	5,373,069	12/13/94	Rehfuss et al.	525	456	07/28/93
	AC	5,563,208	10/18/96	König et al.	524	591	06/05/95
	AD	5,663,247	09/02/97	Sörensen et al.	525	533	10/24/95
	AE	5,792,810	08/11/98	Menovcik et al.	524	590	08/15/96
	AF	5,852,162	12/22/98	Smith et al.	528	272	06/27/97
	AG	5,869,191	02/09/99	Clemons Van Gaalen et al.	428	842	11/24/97
	AH	5,945,499	08/31/99	Ohrbom et al.	528	75	11/12/97
	AI	5,976,615	11/02/99	Menovcik et al.	427	140	07/09/97
	AJ	5,418,301	5/23/95	Hult et al.	525	437	7/13/94
	AK	5,834,118	11/10/98	Rånby et al.	428	482	5/9/97

## FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AL	WO93/17060 -	02.09.93	EP	C08G	63/02	X	
	AM	WO94/10211 -	11.05.94	EP	C08F	8/30	X	
	AN	WO97/45474	04.12.97	EP	C08G	81/00	X	
	AO							
	AP							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	XP 000646275 Bo Pettersson, entitled " High-solid alkyds based on hyperbranched (dendritic) polymers- a new concept with new opportunities" dated 2/9-11/94 , pp.753-764
	AS	
	AT	

EXAMINER

DATE CONSIDERED

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Atty. docket No. IN-5270	
Serial No. 10/043,816	
Applicant(s) GRANDHEE et al.	
Filing Date 01/10/2002	Group

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(Use sever of sheets if necessary)

**U.S. PATENT DOCUMENTS**

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,477,624	10/16/84	Waki	524	736	9/29/82
	AB	5,580,922	12/03/96	Park et al.	524	733	6/6/95
	AC	4,868,298	9/19/89	Brinkman	540	525	6/22/88
	AD	3,505,297	4/7/70	Sheetz	260	78.4	1/21/63
	AE	6,103,387	8/15/00	Yamamoto et al.	428	482	10/14/96
	AF	4,801,623	1/31/89	Hess et al.	521	157	1/14/88
	AG	5,693,724	12/2/97	Green	525	481	7/1/96
	AH	5,693,723	12/2/97	Green	525	481	7/1/96
	AI	5,336,566	8/9/94	Rehfuss	428	524	4/30/93
	AJ						
	AK						

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Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AL							
	AM							
	AN							
	AO							
	AP							
	AR							
	AS							

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	AT	Grandhee, USN 09/965,425, filed on Sept. 27, 2001, entitled "Carboxy Resin Crosslinkers, on 29 pages.
	AU	Ramesh, USSN 09/470,405, filed on Dec. 22, 1999, entitled "Hyperbranched polyol macromolecule, method of making same, and coating composition, PP 17
	AV	Ramesh et al., USSN 09/748,643, filed on Dec. 22, 2000, entitled Carbamate-functional resins and their use in high solids coating compositions, pp 38

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